

When is Better Best? A multiobjective perspective

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Abstract

Purpose: To identify the most informative methods for reporting results of treatment planning comparisons.

Methods and Materials: Seven papers from the past year of *International Journal of Radiation Oncology Biology Physics* reported on comparisons of treatment plans for IMRT and IMAT. The papers were reviewed to identify methods of comparisons. Decision theoretical concepts were used to evaluate the study methods and highlight those that provide the most information.

Results: None of the studies examined the correlation between objectives. Statistical comparisons provided some information but not enough to make provide support for a robust decision analysis.

Conclusion: The increased use of treatment planning studies to evaluate different methods in radiation therapy requires improved standards for designing the studies and reporting the results.

Keywords: treatment planning, comparisons, Pareto optimal

1 Introduction

In radiation therapy, new algorithms, delivery methods and hardware are introduced into the marketplace and clinical practice on a regular basis. While a clinical trial is the benchmark for comparisons in the field, such trials are time-consuming and expensive in manpower and resources. The result is that other comparison methods must suffice. One popular method is a comparison between the two methods in which the bases of comparison are the treatment plans calculated using the “old” and the “new” method. Using a software model as the sole method of comparison for clinical practices is relatively rare outside of radiation oncology; animal or human trials (prospective or retrospective) are the norm in most other specialities.

One of the advantages of clinical trials is that they usually produce data that are directly connected to clinical decision-making. Even so, applying the results can be difficult because of the multicriteria nature of clinical decisions. Most often, new therapeutic methods or diagnostic tests involve trade-offs. A test or therapy may provide new information or improve an outcome but it may also introduce a risk of complications that the other tests or therapies do not have, and a decision must be made as to whether the improvement is worth the increased risk. The new method may also incur costs—in manpower, time, equipment—that can play a decisive role in the decision as to whether to implement it.

Whether explicitly stated or not, comparisons of different modalities can be framed in terms of multicriteria decision making (MCDM), and therefore it is appropriate to use the methods and concepts from this field in analyzing such studies. The act of comparing two or more procedures or modalities means that one wishes to determine if one is better than the others, and in the context of medical practice, using this information to decide on a method of treatment. Decision making can be divided into four realms that characterize the type of decisions: single or multiple criteria, and under certainty or under uncertainty. The relevant realm for this work is multiple criteria under uncertainty since the decision affects

the probabilities of the different possible outcomes, and the decision rests on the valuation of multiple components of the problem.

Given the difficulty in conducting trials, and acknowledging the difficulties inherent in treatment planning comparisons, what can be expected from such studies and what are the best methods for conducting them? This paper provides some characteristics that would make the results more useful and less prone to bias. These are evaluated against a set of papers from one year's issues of *International Journal of Radiation Oncology Biology Physics* which all address the differences between intensity modulated radiation therapy (IMRT) and intensity modulated arc therapy (IMAT). The goal is not to come to a conclusion about the efficacy of IMAT vs IMRT; rather it is to investigate which comparison methods provide the most useful information, and perhaps to stimulate discussion regarding the most productive means for so doing.

2 Methods

The concepts highlighted in this work have been explored in a number of different fields, and this has resulted in a lack of standardization with respect to terminology. For clarity's sake, we present some definitions.

- criterion: an aspect of the decision making problem that is critical to the decision making process. Also referred to in the literature as an *objective*, *attribute* or *goal*;
- objective: a desired goal that can be written in mathematical form and is part of a mathematical optimization algorithm. It is represented by an *objective function* and the value of this function for a given set of circumstances is the *objective value*.

As described above, "objective" is a fairly general term, and our use is meant to highlight the difference between a criterion, which may be difficult to write in a mathematical form, and a functional formulation of that criterion whose mathematical character allows it to be used in optimization and/or decision making algorithms. In the context of inverse planning, more detailed distinctions between types of objectives are useful.

- inverse planning objective (IPO): an objective (in the sense given above) focussing on a single criterion that is used in an optimization algorithm to calculate beam delivery variables;
- decision objective (DO): an objective (in the sense given above) that is used to rank plans. It may be identical to the IPO; it may be the mathematical representation of a criterion; or it may be a surrogate for a criterion that is difficult to express mathematically.

Depending on the optimization algorithm, several IPO's can be summed or multiplied to produce a single, global function whose value is optimized. There are several reasons

why an inverse planning objective may not be used as a decision objective. Optimization algorithms are most efficient when the objective functions are of certain forms, which may not be close enough to the functional form of the decision making criteria. It can also be desirable to have a limited set of DO's (as described below), whereas the optimization may proceed better with a larger set of objectives.

2.1 Comparisons in literature

One year's issues of *International Journal of Radiation Oncology Biology Physics* (Volumes 74 - 76) were searched for articles on treatment planning comparisons of IMRT and IMAT¹. Seven articles were found [1, 2, 3, 4, 5, 6, 7]. The comparison between these two methods was chosen because of the large number of articles, the rapid dissemination of IMAT, and the fact that the comparison is complex given that it involves hardware, delivery software, planning software and products from competing vendors. The tumor types and sites included brain, head & neck, lung, prostate, breast, lymphoma, paraspinal, and lymph nodes.

Table 1 provides the relevant details extracted from these papers. These treatment planning studies involved optimization using inverse planning algorithms; the objectives used in these calculations are termed *Inverse Planning Objectives (IPO)*. The resulting treatment plans were compared using another set of objectives, which we call *Decision Objectives (DO)*.

2.2 Multicriteria decision theory

Given the the fact that we are interested in multicriteria (also known as *multiobjective*) decisions made under uncertainty, the decision making environment involves both probabilities and values. Values are, of course, the essential element in deciding between alternatives and are most often encapsulated using utility functions. *Utility* is the quantitative measure of the strength of preference for an outcome [8, 9]. Expected utility is the sum of the utilities of all the possible outcomes of a given action weighted by the probabilities of their occurrence. One method for deciding is to choose that action (among all allowed actions) that results in the maximum expected utility.

The method most often used to compare plans in radiation therapy is to ignore the probabilistic nature of the outcome. In the most common form of inverse planning, the objective values are weighted by the value of each objective by means of a "weighting factor" or "importance factor", and the sum of weighted objective values is the score of the plan. This is a powerful but limited method that quickly finds a solution but comparisons can be difficult when the objective functions have been changed. Current inverse planning algorithms provide little guidance for searching for better plans and the arbitrary objective function values insure that the weighting factors cannot really serve as utilities.

As described earlier, nearly all comparisons of interest are multicriteria problems. In many cases, the criteria are not commensurate, but even when they are our sense of determining

¹The generic term IMAT is used for modulated arc therapy rather than the often-used trademarked names.

the “best” outcome means that they must be synthesized into a single metric. Expected utility and the weighting factor method, as described above, are such metrics but it can be difficult to apply them when determining preferences for the trade-offs that are inherent in the problem. In the absence of a utility or value function, goal programming is a useful approach. This approach seeks to achieve each of the desired goals and only requires that the decision maker can set appropriate goals for each criterion. Outcomes can be ranked by the proportion of criteria (goals) that are met, assuming that the goals are not too easy to achieve.

Finally, an aspect of decision making that is critical for the problems of interest is the situation in which the criteria are linked or correlated, especially when a good value for one results in a poor value for another. That means that it makes little sense to compare single criteria against each other since the connections with the other criteria are lost. In the case of planning comparisons, it is quite possible to have a method provide better values for one criterion while having poor values for other, correlated criteria.

One measure that does take the correlation into account is *domination*. If the outcomes for k objectives, $\vec{x} = \{x_1, x_2, \dots, x_k\}$ are compared for two different situations, \mathbf{x}' and \mathbf{x}'' , then \mathbf{x}' is said to dominate \mathbf{x}'' if:

$$\begin{aligned} x'_i &\leq x''_i \quad \forall i \in k \\ \text{as long as } x'_i &< x''_i \text{ for at least one value of } i \end{aligned} \tag{1}$$

where it is assumed that a lesser objective value is preferred over a greater.

A solution that dominates another must be considered better, within the preference space defined by the chosen objectives, since there would be no reason to prefer the solution with all higher (less desirable) values. This is similar to, but not identical with, Pareto optimal solutions or the Pareto front since Pareto optimality means that there exist no better solutions. Many optimization algorithms produce Pareto optimal plans given the IPO's used in the optimization, although it is likely that they are not Pareto optimal in DO space. The mismatch between IPO space and DO space is one of the difficulties in performing inverse planning.

The advantage of the domination comparison is that no values or rankings between the multiple objectives need be assigned. Two methods can be compared by calculating the number of outcomes, i.e. plans, produced by one method that dominate the outcomes (plans) from the second method, and vice versa. If one method results in a greater number of dominant plans, then that method has a clear advantage. An important point to note is that the number of objectives that is used to characterize a plan greatly influences the number of dominations. With large numbers of objectives, it is highly likely that while one plan may be superior in many objectives compared to another plan, there will be one or two objectives in which it is not, thereby preventing domination.

Strict comparisons of dosimetric objectives may be modified to account for clinical significance in the sense that a difference of a percent or less in the dose to some critical structure may not mean that one plan is superior in any clinically meaningful way. The domination comparison can be modified to include an ϵ of such a magnitude that when the difference between two objective values is less than ϵ , the values are considered clinically equal. The

size of ϵ depends on the objective of interest; the recent publication of normal tissue responses [10] provides a useful compendium of uncertainties in complication probabilities for a range of tissues.

While domination comparison is the most direct way to determine which method is better, it is not always easy or appropriate. For one, statistical measures of outcome differences require a large number of plans which may not be feasible. They also operate best when a small number of objectives can be selected for comparison. If the method being compared is exploring clinically new territory, it may be difficult to decide on a small number of the most critical criteria. It may also be the case that the investigator may not wish to impose a set of values when it is acknowledged that different practitioners may have different priorities. In these cases, providing probabilities for the different outcomes provides the reader with a useful set of numbers that they can then apply as they see fit. The correlation between opposing objectives needs to be part of the calculation. For example, a method may produce plans that provide better tumor coverage 50% of the time and better OAR sparing 50% of the time. However, the chance that it produces better tumor coverage and OAR sparing in a given plan may be anywhere from 0 to 50%. Therefore, the appropriate probabilities would include at least two relevant, conflicting conditions, e.g. the probability that a plan achieves a certain tumor coverage and maintains an OAR dose below a certain critical level or the probability that the plan maintains a high minimum tumor dose and good tumor dose homogeneity.

If probability distributions are obtained, the methods can be compared by examining the integral probability distribution. If the distribution from one method does not cross that of the comparison method, then one method “stochastically dominates” the other and can be considered superior.

In these comparisons, there are two levels of pairing of results. At one level, results for each patient case must be compared against each other in order to avoid artifacts dependent on the particular cases. The second level is that objectives are often paired with competing objective(s) in order to capture how each method deals with the inherent trade-offs. In summary, the most appropriate methods for comparing different modalities are:

- Probabilities
 - determine conflicting DO’s
 - find joint probabilities for each set of DO’s
- Expected Utility
 - find probabilities that each method achieves each DO
 - determine utilities
 - calculate which method yields highest expected utilities
- Domination Comparison
 - case by case comparison of all DO values
 - count proportion of cases in which DO values of one method are as good as or better than those of second method

- Goal Programming
 - set goals for each DO value
 - count how many goals are met by each plan

3 Results

Table 1 summarizes the comparisons for each of the published studies. The number of separate patient cases ran from 5 to 14 (in one paper, [1], three cases were studied for four different sites), and included multiple tumor sites. The inverse planning objectives were different from the decision objectives in all cases, though there was some overlap in several studies. The DO's included many of the same types of objective functions used as IPO's such as mean doses and DVH parameters V_x and D_x . More complex objectives were also used as DO's, such as equivalent uniform dose (EUD), homogeneity index (HI), conformality index (CI), and normal tissue complication probability (NTCP). Most of the studies also included some measure of treatment efficiency, such as total monitor units, total number of segments, and/or beam-on time.

Comparisons between the modalities were made using several methods, including individual and averaged dose-volume histograms, direct comparison of each DO for each patient case, direct comparison of the means of each DO (averaged over all patient cases) using both paired and unpaired statistical tests, and the values of the Wilcoxon summed rank test for each DO averaged over all patient cases. With respect to the statistical significance of the tests used, some of the studies reported conflicting results with respect to the superiority of IMAT over IMRT or vice versa.

Reference [1] concluded that IMAT obtained the best target coverage in most cases and the lowest toxicity in some cases. This was the one study in which data were presented case by case, although the competing objectives were not linked in the analysis. From the presented data, it was seen that IMRT dominated IMAT in two cases, and IMAT dominated IMRT in one case. In the other nine, IMRT had better values for some DOs and worse for others. Of those nine, IMRT had more superior DO values in two cases, worse in seven, and in one case IMAT and IMRT had the same number of superior DO values.

Reference [2] used a homogeneity index to characterize the dose to the target volume and reported a difference of 1% in the means (averaged over all patient cases) and this was a statistically significant difference. Using the methods in Table 2, IMRT was considered superior to IMAT for target and all OARs when one arc was used, and when two arcs were used, IMRT was better in only 3 of 6 OARs and the targets were substantially equivalent. Overall, they concluded that IMAT was more efficient but IMRT was better dosimetrically, and that one should compare the two on a case-by-case basis before selecting one over the other.

Reference [3] concluded that there was no statistical difference between the modalities for the targets and that IMAT was superior for the OAR DOs. The results for the homogeneity (HI) and conformality (CI) indices for the targets were presented case by case. The average

HI was better for IMAT, the average CI was better for IMRT, but in two of the cases the HI and CI were superior for IMRT, in one case both were superior for IMAT and the results were mixed for the other two cases. An argument was presented that the reduction in contralateral breast dose with IMAT would lead to improvements in outcomes of secondary cancers. They concluded that IMAT was better than IMRT for these cases.

Reference [4] provided means for 36 different DOs and the value of p for the Wilcoxon signed rank test. The large number of DOs were intended to provide a summary of the DVH for each OAR and the target. A relatively small number of DOs were statistically different (all to the benefit of IMAT), and no general conclusions regarding the two modalities were drawn.

Reference [5] came to the general conclusion that IMAT produced a level of normal tissue avoidance similar to IMRT. Explicit evaluation criteria were described and mean dosimetric parameters were reported. Statistically different values were reported for some target metrics as well as some OAR metrics, but no distinction was made with respect to which modality performed better. The shorter treatment time of IMAT was an explicit objective tied to a clinical need for improving positioning compliance.

Reference [6] reported EUD values (along with DVH metrics) because of the inhomogeneous dose distributions. They concluded that IMRT and IMAT had comparable target coverage, and that IMRT resulted in more spinal cord sparing if one arc was used, and comparable sparing if two were used. Only one target metric (conformity index) showed statistical superiority, although the direction was not stated. The spine was the only OAR that had a statistical difference. A final conclusion recommended further clinical studies to investigate the efficacy of IMAT.

Reference [7] concluded that single arc IMAT plans were similar to IMRT plans except for a reduced target homogeneity. Double arc IMAT was judged superior in target dose and similar in OAR sparing. Given these results plus the reduced delivery time and fewer monitor units, this group made the decision to replace IMRT with IMAT for all indications.

Most of the studies made specific statements regarding the fact that the inverse planning process or dose calculation algorithms had the potential to introduce some bias into the outcomes. Nearly all of the studies also concluded that the IMAT treatment took less time and/or fewer monitor units to deliver the treatments.

4 Discussion

Seven recent papers comparing IMAT to IMRT were reviewed and analyzed to determine the extent to which they provided information consistent with the principles of multicriteria decision theory. In the context of comparing different methods by means of treatment planning, the key principles are (1) dealing appropriately with multiple, competing criteria, and (2) handling the uncertain nature of the outcomes.

The papers reported results of a number of different statistical comparisons. One of them,

the Student's t-test (unpaired), ignores the fact that much of the variability stems from the inherent anatomical differences between patients. The Student's paired t-test properly focuses on the differences in the values of the DO's, but it is applied under the assumption that the DO values follow a normal distribution. Although it is natural to assume that there will be relatively few small or large DO values, it is a difficult assumption to prove since the distribution is based both on the anatomy of a patient population and the inverse planning algorithm and its use. The Wilcoxon rank test is a more general metric and is probably more appropriate to the data in this situation.

While the use of some of these statistics does account for the fact that the data are pairwise matched due to the differences in patient cases, they ignore a critical correlation, namely the fact that many of the objectives are linked to one another in such a way that satisfaction of one can lead to less satisfactory values of the others. This linkage, caused by the nature of radiation transport, is essential to any comparison. Only Ref. [1] provided data with which the connection between the DOs could be assessed. The other papers assessed differences for each DO separately by means of the Student's t test, Student's paired t test, and the Wilcoxon test. In the cases when both targets and OAR's yielded significant improvements in the DO's on average for a given method, it is likely that for given cases, both DO values are better. However, it is also likely that this is not true for all cases, and may not be true for the majority of cases. In this respect, the Wilcoxon signed rank test is a stronger measure than the Student's paired t test. However, in neither case is it possible to determine any probabilities for both values being better (or worse). When the tests yielded conflicting significant differences, e.g. better target coverage but worse OAR sparing, these tests provide no reliable information regarding the probabilities of relevant outcomes. On the other hand, when there is no statistically significant difference, it is still possible that there is an advantage of one method over the other with respect to domination.

A crucial difference between these planning studies and other clinical comparisons is the trade-offs between the outcomes. In treatment planning comparisons (and particularly those studied here), there is a trade-off between the separate outcomes that requires that joint outcomes be reported. Clinical outcomes are usually perceived as being stochastically related, and joint outcomes are not usually reported². Therefore, the main focus of this paper has been on establishing reporting methods that are unique to these types of studies, and establishing standards for when better is best.

When comparisons are made in clinical studies, the purpose of the study is usually clearly spelled out, e.g. which method produces longer survival or fewer complications. In these studies, implicit values are assigned to criteria and the method for judging one superior to the other is based on a clear comparison of these criteria. In the papers reviewed, the purposes were not nearly as explicit, only that the methods were to be compared. As described above, if the utilities of the outcomes are not provided and the study is only meant to provide the bases for decisions and not the decisions themselves, then a statistical distribution of linked objectives is needed. If the purpose is to determine which is best, then the criteria need to be explicitly stated and the appropriate method chosen.

²However, given the the large amount of knowledge yet to be gained about individual radiation response, one could make the argument that reporting the cases in which tumor and complication outcomes occurred jointly would be potentially useful.

A potentially important confounding factor in treatment planning comparisons is the subjective element in the current inverse planning paradigm, as exemplified by several examples. From Bignardi *et al*, “Both IM and RA plans were optimized using the same objectives by the same experienced planner aiming to respect planning strategies described above”, and from Verbakel *et al*, “All IMRT optimizations were done by interactively adapting the objectives and their priorities.” Inverse planning algorithms, as currently implemented in commercial planning systems, provide little insight or guidance in the search of better plans [11, 12]. The process of searching available plan space is very much a trial-and-error process and it is very difficult to say whether a better plan could have been achieved. Therefore, as several papers noted, there is considerable uncertainty in the capabilities of the two methods.

5 Conclusion

A year’s worth of papers reporting comparisons between treatment plans utilizing IMRT and those using IMAT were analyzed with respect to the methods of comparison. The major weakness in these studies was the lack of coupling between the results for competing plan criteria. The comparisons fall into the realm of multicriteria decision making. Applying the principles of MCDA, it is concluded that the results of the comparisons would be more useful if (a) the criteria and methods of comparison were explicitly stated and justified, (b) the probabilities of occurrence of the criteria were reported, and/or (c) explicit utilities for the criteria were provided and used to rank the methods.

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Reference	Tumor types (# of cases)	Inverse Planing . Objectives (I.P.O.)	Decision Objectives (D.O.)
Tang <i>et al</i> [1]	H & N (3) brain (3) lung (3) prostate (3)	RTOG 05-22 ¹ RTOG 05-13 ¹ RTOG 06-17 ¹ RTOG 04-15 ¹	V_x (OAR ²), $V_{95\%}$ (target)
Yoo <i>et al</i> [2]	prostate + seminal vesicles + pelvic lymph nodes (10)	D_{100} , D_{max} (target) V_x , D_x , D_{max} for rectum, bladder, bowel femoral heads, normal tissue	V_{65Gy} , D_{mean} bladder V_{70Gy} , D_{mean} rectum V_{45Gy} , D_{mean} bowel HI ³ , CI ⁴ target
Popescu <i>et al</i> [3]	left breast + IM nodes (5)	$V_{95\%}$ PTV V_{30Gy} heart V_{20Gy} ipsilateral lung	HI breast/chest wall $V_{42.7Gy}$ HI nodal PTV CI each PTV CI combined PTV $D_{2\%}$ PTV V_{xGy} heart, lung, contralat. breast mean EUD for all structures
Weber <i>et al</i> [4]	Hodgkin lymphoma (10)	$D_{95\%}$, $D_{107\%}$ Target $D_{1\%}$, $D_{33\%}$, $D_{50\%}$ also give priority for each	mean DVH $D_{1\%}$, $D_{99\%}$, $V_{95\%}$, $V_{107\%}$, D_{mean} PTV $D_{integral}$ OAR $D_{n\%}$, V_{nGy} OAR
Bignardi <i>et al</i> [5]	abdominal lymph nodes (14)	$D_{min} > 36Gy$ $D_{95\%}$, $D_{107\%}$ Target D_{max} spine V_{15Gy} kidney V_{36Gy} duodenum, stomach, bowel V_{15Gy} liver $D_{0.5cm^3}$ duodenum, stomach bowel last one is secondary importance	$D_{99\%}$, $D_{1\%}$ PTV $V_{95\%}$, $V_{107\%}$ PTV HI, CI Target EUD CTV and PTV NTCP for OAR $D_{1\%}$ I.P.O. objectives
Wu <i>et al</i> [6]	spine (10)	V_{90} Target V_{xGy} , D_{max} depending on nearby OAR	$D_{x\%}$ PTV CI PTV V_{xGy} , $D_{x\%}$ OAR not the same as IPO EUD OAR
Verbakel <i>et al</i> [7]	head & neck (12)	$V_{<95\%}$, $V_{>107\%}$ PTV D_{max} cord, brainstem D_{mean} parotid V_{high} mouth, larynx D_{max} other OAR	$V_{<95\%}$, $V_{>107\%}$ PTV CI PTVs Stand. Dev. PTV D_{mean} parotid, larynx, mouth

Table 1: ¹ Normal tissue objectives, ² OAR: organ at risk, ³ HI: homogeneity index, ⁴ CI: conformity index

Cited Paper	Methods of comparison
Ref. [1]	DO values presented for each case DVH's for individual cases
Ref. [2]	two sided Student's t test of each DO DO means and averaged DVHs
Ref. [3]	two-sided paired t test for each DO DO means and ranges and averaged DVH
Ref. [4]	Wilcoxon matched-paired signed-rank test of each DO DO means and standard deviations and averaged DVHs
Ref. [5]	paired, two-tailed Student's t test of each DO DO means and standard deviations and averaged DVHs
Ref. [6]	Wilcoxon signed rank test for each DO DO means and standard deviations and averaged DVHs
Ref. [7]	Wilcoxon matched-pair signed rank test for each DO DO means

Table 2: Methods of comparison using decision objectives (DO).